

PPQA External Assessment Checklist

Date(s) of Assessment: _____ Project and Life Cycle: _____

Assessor(s): _____ SQE Name: _____

		Y, N, NA	F, O	Comments
ASSESSMENT PREPARATION				
1	Have standards been identified to clearly define the assessment?			
2	Were guidelines/criteria used to prepare for this assessment?			
3	Were the SAM and/or SQE given advance notice of this assessment?			
PPQA GENERIC PRACTICES				
4	Does Software Quality have an organizational policy for planning and performing PPQA (GP 2.1)? If so, where is it defined?			
5	Has a Software Quality Assurance Plan (SQAP) been developed and approved for the project (GP 2.2)?			
6	Has the SQE developed and maintained a schedule of SQ activities commensurate with the project's Software Management Plan (GP 2.2)?			
7	Have adequate resources for performing the PPQA process area been provided (GP 2.3)? For example, tracking tools or repositories.			
8	Has a Service Order and Work Authorization Form been submitted that assigns responsibility and authority for conducting a Software Quality Program (GP 2.4)?			
9	Has the SQE been trained to NASA and project procedures and are training records on file (GP 2.5)?			

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		Y, N, NA	F, O	Comments
10	Are work products under appropriate levels of configuration management (GP 2.6)? Where are the levels defined? See also Question # 25.			
11	Have Relevant Stakeholders been identified (GP 2.7)?			
12	Is the PPQA process monitored and controlled (GP 2.8)? If so, how?			
13	Do you review status with higher-level management and resolve issues (GP 2.10)? If so, how?			
OBJECTIVE EVALUATIONS (Processes and Work Products) SG 1				
14	Have process evaluations been conducted commensurate with the software life cycle activities (SP 1.1-1):			
14a	Project Planning?			
14b	Project Monitoring and Control?			
14c	Measurement and Analysis?			
14d	Requirements Management?			
14e	Configuration Management?			
14f	Risk Management?			
14g	Software Problem Reporting?			
14h	System/Subsystem Reviews?			
14i	Project Peer Reviews?			
14j	Lessons Learned?			
14k	Verification?			
14l	Validation?			
15	Have work product evaluations been conducted commensurate with the software life cycle activities (SP 1.2-1):			
15a	Documentation Reviews (e.g., Product Plan, CMP, RMP, SRS)?			
15b	Software Development Folders?			
15c	Version Description Documents?			
15d	Software Requirements Traceability Matrix?			
15e	Test Reports?			
16	Was a defined criteria used to objectively evaluate processes and work products?			

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OBJECTIVE INSIGHT SG 2				
17	Have assessment reports and noncompliances from the process and work product evaluations been documented (SP 2.2-1)?			
18	Have results and noncompliances been communicated to the relevant stakeholders, for example the PDL or OSSMA Management (SP 2.1-1)?			
19	Have noncompliance issues that cannot be resolved within the project been escalated (SP 2.1-1)?			
20	Is there evidence that noncompliances are regularly statused and updated (SP 2.1-1)?			
21	Does the SQE track noncompliance issues to resolution (SP 2.1-1)?			
22	Does the SQE capture and trend noncompliance or quality issues (SP 2.1-1)?			
23	Does the SQE provide a weekly status input to the Project/SAM (SP 2.1-1, GP 2.10)?			
24	Does the SQE provide a monthly input highlighting any noncompliances, quality issues and/or risks (SP 2.1-1, GP 2.10)?			
25	Per the SQA Data Management Plan:			
25a	Does the SQE maintain the following work products in their SQE Folder: Work Authorization Form, Weekly, Monthly/Quarterly Report, Training Log, Metrics, SQAP, Stakeholder Table, Schedule, and IV&V Reports?			
25b	Are assessments reports, associated DR's, and completed checklists maintained in the SQERD?			
25c	Are project-related emails on the SQE's desktop?			
25d	Are there any NCRs in the GPRS?			
REFERENCE ITEMS/DOCUMENTS				
<i>CMMI-SE/SW/IPPD/SS, Version 1.1, PPQA Goals and Practices</i>				
<i>303-PG-7102.2.1B, Procedure for Developing and Implementing Software Quality Programs</i>				
<i>IEEE-730-2002 for the recommended Software Quality Assurance Plan Template</i>				

Revision: 3.0

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Y=Yes, N=No, NA=Not Applicable, F=Finding, O=Observation

For more information, please visit the NASA GSFC Software Assurance Website, at <http://sw-assurance.gsfc.nasa.gov>.

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Assessor(s): _____ Process Assessed: _____

COMMENTS PAGE _____ **of** _____

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